MISSOURI REGISTER

Orders of Rulemaking

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This section will contain the final text of the rules proposed by agencies. The order of rulemaking is required to contain a citation to the legal authority upon which the order of rulemaking is based; reference to the date and page or pages where the notice of proposed rulemaking was published in the *Missouri Register*, an explanation of any change between the text of the rule as contained in the notice of proposed rulemaking and the text of the rule as finally adopted, together with the reason for any such change; and the full text of any section or subsection of the rule as adopted which has been changed from that contained in the notice of proposed rulemaking. The effective date of the rule shall be not less than thirty (30) days after the date of publication of the revision to the *Code of State Regulations*.

he agency is also required to make a brief summary of the general nature and extent of comments submitted in support of or opposition to the proposed rule and a concise summary of the testimony presented at the hearing, if any, held in connection with the rulemaking, together with a concise summary of the agency's findings with respect to the merits of any such testimony or comments which are opposed in whole or in part to the proposed rule. The ninety (90)-day period during which an agency shall file its order of rulemaking for publication in the Missouri Register begins either: 1) after the hearing on the proposed rulemaking is held; or 2) at the end of the time for submission of comments to the agency. During this period, the agency shall file with the secretary of state the order of rulemaking, either putting the proposed rule into effect, with or without further changes, or withdrawing the proposed rule.

Title 2—DEPARTMENT OF AGRICULTURE Division 10—Market Development Chapter 5—Price Reporting

ORDER OF RULEMAKING

By the authority vested in the Director of Agriculture under sections 277.200-277.215, RSMo 2000 and Supp. 2001, the director adopts a rule as follows:

2 CSR 10-5.015 Public Complaint Handling And Disposition Procedure for Missouri Livestock Marketing Law is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on March 15, 2002 (27 MoReg 451–454). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The public comment period for this proposed rule ended April 14, 2002, and a public hearing on this proposed rule was held on April 15, 2002. No comments were received.

Title 2—DEPARTMENT OF AGRICULTURE Division 80—State Milk Board Chapter 5—Inspections

ORDER OF RULEMAKING

By the authority vested in the State Milk Board under section 196.939, RSMo 2000, the board amends a rule as follows:

2 CSR 80-5.010 Inspection Fees is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on March 1, 2002 (27 MoReg 396–398). No changes have been made to the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No public hearing was held. No written comments were received during the comment period.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 7—Wildlife Code: Hunting: Seasons, Methods, Limits

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission rescinds a rule as follows:

3 CSR 10-7.435 Deer: Seasons, Methods, Limits is rescinded.

This rule related to hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed rescission.

PURPOSE: This rule is being rescinded and readopted in a new format.

SUMMARY OF COMMENTS: Seasons and limits are excepted from the requirement for filing as a proposed rescission under section 536.021, RSMo. This rescission filed May 9, 2002, effective June 1, 2002.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 7—Wildlife Code: Hunting: Seasons, Methods, Limits

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission adopts a rule as follows:

3 CSR 10-7.435 is adopted.

This rule relates to hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed rule.

3 CSR 10-7.435 Deer: Seasons, Methods, Limits

PURPOSE: Dates and limits for hunting deer in various parts of the state are established annually, based on the results of biological surveys. The goal is to provide recreational opportunities consistent with the maintenance or establishment of optimum numbers of deer. This rule establishes the open seasons and limits for deer hunting.

(1) General Provisions.

- (A) For the purposes of this rule, deer shall mean white-tailed deer and mule deer and antlered deer shall mean a deer with at least one (1) antler not less than three inches (3") long. Deer may be pursued, taken, killed, possessed or transported only as permitted in this rule. Antlerless deer may only be taken in accordance with deer management unit regulations established for each unit. Deer management unit boundaries are defined in section (6) of this rule.
- (B) Deer may be pursued or taken only from one-half (1/2) hour before sunrise until one-half (1/2) hour after sunset.
- (C) Deer shall not be taken while in any stream or other body of water, or from any boat with a motor attached. Deer may not be hunted, pursued or taken with the aid of dogs, bait, any motor driven land conveyance or aircraft at any time. While hunting or pursuing deer, dogs may not be used or possessed.
- 1. Bait shall mean grain or other feed placed or scattered so as to constitute an attraction or enticement to deer. Scents and minerals, including salt, are not regarded as bait. An area shall be considered baited for ten (10) days following complete removal of the bair
- (D) Any person who kills or injures any deer shall make a reasonable effort to retrieve the deer and include it in his/her season limit; however, this does not authorize trespass.
- (E) During all portions of the firearms deer hunting season, all persons while hunting or while accompanying a person hunting deer on a Youth Deer and Turkey Hunting Permit shall wear a cap or hat, and a shirt, vest or coat having the outermost color commonly known as daylight fluorescent orange, blaze orange or hunter orange which shall be plainly visible from all sides while being worn. Camouflage orange garments do not meet this requirement. This requirement shall not apply to migratory game bird hunters, to archery deer hunters during the muzzleloader portion, to archery hunters during the antlerless-only portion in units 28–32 and 38–57, or to hunters using archery methods while hunting within municipal boundaries where discharge of firearms is prohibited or on federal or state public hunting areas where deer hunting is restricted to archery methods.
- (F) Any person killing a deer shall properly tag it immediately with the transportation tag portion of the taker's permit which shall remain attached to the carcass until it has been inspected and sealed at an established checking station except that selected persons shall check deer through the pilot Telecheck system. Persons reporting by the Telecheck system shall immediately record the Telecheck confirmation number on the transportation tag. Detaching the transportation tag from the permit prior to taking a deer renders the permit void. Resident landowners or lessees, as defined in this Code, who hunt deer as permitted in this rule without a permit issued by the department, shall tag any deer taken immediately with the full name and address of the taker and submit it for inspection as required in this rule. All deer taken shall be transported and possessed with head attached and only by the taker until such deer have been checked in accordance with established procedures.
- (G) Deer taken during the youth-only, November, and antlerless-only portions of the firearms deer hunting season shall be submitted with the transportation tag attached and with the prescribed deer hunting permit for inspection and marking in the county where taken or an adjoining open county between the hours of 8:00 a.m. and 8:00 p.m. Central Standard Time (CST) on the day taken. Deer taken during the muzzleloader portion of the firearms deer hunting season and the archery deer hunting season shall be submitted with the transportation tag attached and with the prescribed deer hunting permit for inspection and marking within twenty-four (24) hours of take at any established checking station. Persons reporting deer through the Telecheck system must do so within the open checking hours specified for the appropriate season portion.

- (H) Notwithstanding any contrary provisions of other rules, deer checked in accordance with established procedures and marked with a locking seal or an issued Telecheck confirmation number may be transported, possessed and stored, and parts of properly checked deer when labeled with the full name, address and permit number of the taker, may be transported and possessed by any person. Locking seals placed on deer at established checking stations or transportation tags with Telecheck confirmation numbers shall remain attached to the deer carcass until the processor begins the act of processing the meat for packaging. Donations of commercially processed deer meat may be made to not-for-profit charitable organizations for distribution to underprivileged persons under administrative guidelines established by the director.
- (I) Deer, except with written authorization of the director or as provided in 3 CSR 10-4.130 and 3 CSR 10-9.565, may not be hunted, pursued, or taken within any area enclosed by a fence greater than seven feet (7') in height that would contain or restrict the free range of deer.
- (2) Archery Deer Hunting Season. The archery deer hunting season dates are October 1, 2002 through January 15, 2003 excluding the November portion of the firearms deer hunting season.
- (A) Deer may be taken as provided in section (1) by the holder of an archer's hunting permit exclusively by longbow. Archers may take two (2) deer of either sex statewide, provided that only one (1) antlered deer may be taken prior to the November portion of the firearms deer hunting season. In addition, an archer holding an archer's hunting permit may obtain up to five (5) antlerless-only archery deer hunting permits valid only in units 1–17, 20, 22–24, 30, 58, and 59 and may take one (1) antlerless deer on each permit. An archer, while in the act of pursuing or hunting deer during the archery season, shall not have a firearm on his/her person.
- (B) A resident landowner or lessee, as defined in this Code, shall not be required to purchase archer's hunting permits or antlerless-only archery deer hunting permits to hunt deer as prescribed in subsection (2)(A), on any land s/he owns or, in the case of the lessee, upon which s/he resides, but s/he shall adhere to seasons, methods, units and limits prescribed. Nonresident landowners who qualify under this rule are eligible to purchase nonresident landowner archer's hunting permits for use on qualifying land.

(3) Firearms Deer Hunting Season.

- (A) The firearms deer hunting season is comprised of four (4) portions:
- 1. During the youth-only portion (November 2 through November 3, 2002), a Missouri resident who is under sixteen (16) years of age and holding a valid firearms deer hunting permit may take one (1) deer of either sex in any unit as provided in this rule. Deer taken during this portion of the firearms deer hunting season must be included in the total firearms deer hunting season limits.
- 2. During the November portion (November 16 through November 26, 2002), a person holding a firearms deer hunting permit may take deer as provided in this rule.
- 3. During the muzzleloader portion (December 7 through December 15, 2002), a person holding a firearms deer hunting permit may take deer as provided in this rule. Deer may be taken only with a muzzleloading or cap-and-ball firearm not capable of being loaded from the breach, not smaller than .40 caliber, and capable of firing only a single projectile at one (1) discharge. A person, while in the act of pursuing or hunting deer on a firearms deer hunting permit during this portion of the firearms deer hunting season may have and use more than one (1) muzzleloading or cap-and-ball firearm, but may have no other firearm, longbow or crossbow on his/her person.
- 4. During the antlerless-only portion (December 19 through December 22, 2002), a person holding a firearms deer hunting permit may take only antlerless deer in units 1 through 27, 33 through 37, 58 and 59 as provided in this rule.

- (B) During the youth-only, November, and antlerless-only portions, deer may be taken with a shotgun not smaller than 20-gauge or larger than 10-gauge; or with a muzzleloading or cap-and-ball firearm not capable of being loaded from the breach, not smaller than .40 caliber, and capable of firing only a single projectile at one (1) discharge; or with any pistol, revolver or rifle firing centerfire ammunition propelling an expanding-type bullet; or with a longbow or crossbow. The possession of full hard metal case projectiles, ammunition propelling more than one (1) projectile at a single discharge and self-loading firearms having a capacity of more than eleven (11) cartridges in magazine and chamber combined are prohibited while pursuing deer.
- (C) A person may take only one (1) antlered deer during the firearms deer hunting season. A person may take one (1) deer of either sex on a firearms any-deer hunting permit. A person may take one (1) additional antlerless deer on a firearms first bonus deer hunting permit and one (1) additional antlerless deer on a firearms second bonus deer hunting permit. As provided in 3 CSR 10-5.205, a person under twelve (12) years of age holding a youth deer and turkey hunting permit may take one (1) deer of either sex statewide during the firearms deer hunting season, except that only antlerless deer may be taken during the antlerless-only portion.
- (D) During the November and antlerless-only portions, other wildlife may be hunted only with a shotgun and shot not larger than No. 4, except that this provision does not apply to waterfowl hunters, trappers or to a resident landowner on his/her land or to a lessee on the land on which s/he resides; provided that the holder of an unused firearms deer hunting permit and the prescribed hunting permit may take coyotes and, after the opening of the furbearer hunting season, furbearers as described in 3 CSR 10-7.450 by the methods prescribed for taking deer. Furbearers may not be chased, pursued or taken with the aid of dogs during the daylight hours from November 1 through November 26, 2002 statewide, and from December 19 through December 22, 2002 in units 1-27, 33-37, 58 and 59. Squirrels and rabbits may not be chased, pursued or taken with the aid of dogs during daylight hours of the November portion in Bollinger, Butler, Carter, Dent, Iron, Madison, Oregon, Reynolds, Ripley, Shannon and Wayne counties.
- (E) A resident landowner or lessee, as defined in this Code, shall not be required to purchase a firearms deer hunting permit to hunt an antlered deer as prescribed in this rule, on any land s/he owns or, in the case of the lessee, upon land which s/he resides. Resident landowners or lessees who take an antlered deer under this privilege may also purchase and use firearms bonus deer hunting permits to take antlerless deer but s/he shall adhere to seasons, methods, units and limits prescribed.
- (F) Resident landowners or corporate shareholders who qualify under subsection (4)(C) of this rule are eligible for any-deer and bonus deer hunting permits at no cost. Nonresident landowners who qualify under subsection (4)(C) of this rule are eligible to purchase nonresident landowner firearms deer permits for use on qualifying land.
- (4) Deer management unit boundaries are defined in section (6) of this rule. Hunting is permitted within deer management units as follows:
 - (A) Units 1-59:
- 1. During the youth-only portion of the firearms deer hunting season, one (1) deer of either sex may be taken statewide as provided in section (3) except that only antlerless deer may be taken on bonus permits. Deer taken during this portion of the firearms deer hunting season must be included in the total firearms deer hunting season limits.
- 2. During the November, and muzzleloader portions of the firearms deer hunting season, one (1) deer of either sex may be taken statewide as provided in section (3). Bonus permit holders may take additional antlerless deer in the unit specified on the permits. Nonresidents may purchase first bonus and second bonus

permits according to a quota for nonresident permits established for each deer management unit.

- (B) Units 1–27, 33–37, 58 and 59: During the antlerless-only portion of the firearms deer hunting season, a person holding an any-deer and/or bonus permit(s) from any unit or holding a youth deer and turkey hunting permit may take antlerless deer.
- (C) Resident landowners who own at least seventy-five (75) acres in a single management unit or seventy-five (75) continuous acres divided by a unit boundary will be issued no-cost any-deer permits in all deer management units, and also no-cost bonus deer permits in those units where bonus deer permits are available as described in subsections (A) and (B) above. Nonresident landowners must own at least seventy-five (75) continuous acres within a single deer management unit and meet the requirements of this rule. No person may receive more than one (1) landowner any-deer and two (2) landowner bonus deer hunting permits for the firearms season and no person may take more than three (3) deer, only one (1) of which may be antlered, during the firearms deer hunting season. A landowner may assign permits to those persons described in paragraph 3. below if the landowner's acreage qualifies in accordance with the formula set forth in paragraph 1. below. Assignments must be made in writing on the landowner's application or renewal form.
- 1. The acreage formula for resident and nonresident landowner any-deer and bonus deer hunting permits is:
- A. Seventy-five to one hundred forty-nine (75–149) acres—one (1) any-deer and two (2) bonus deer hunting permits.
- B. One hundred fifty to two hundred ninety-nine (150–299) acres—two (2) any-deer and four (4) bonus deer hunting permits.
- C. Three hundred to five hundred ninety-nine (300–599) acres-three (3) any-deer and six (6) bonus deer hunting permits.
- D. Six hundred (600) acres or more—four (4) any-deer and eight (8) bonus deer hunting permits.
- 2. Missouri resident landowners who can qualify to receive no-cost any-deer and bonus deer hunting permits are:
- A. Landowners of at least seventy-five (75) acres in a single management unit or seventy-five (75) continuous acres divided by a unit boundary.
- B. Officers, four (4) or fewer, of resident or foreign corporations.
 - C. General partners, four (4) or fewer, of partnerships.
- D. Officers or managing members, four (4) or fewer, of resident limited liability companies.
- E. Officers, four (4) or fewer, of benevolent associations organized pursuant to Chapter 352 of the *Revised Statutes of Missouri*.
- 3. Persons who may be designated to receive no-cost landowner any-deer and bonus deer hunting permits are:
- A. Members of the resident landowner's immediate household whose legal residence and domicile is the same as the landowner's for at least thirty (30) days last past.
- B. Lessees who reside on the landowner's property and/or their immediate household members.
- 4. Nonresident landowners who can qualify to purchase nonresident landowner deer and turkey hunting permits are:
- A. Landowners of at least seventy-five (75) acres in one (1) continuous tract.
- B. Members of the nonresident landowner's immediate household whose legal residence and domicile is the same as the landowner's for at least thirty (30) days last past.
 - C. Four (4) or fewer general partners of partnerships.
- (5) Managed Deer Hunts.
- (A) Additional deer may be taken as a participant in a managed deer hunt on a managed deer hunting permit. A person may participate in only one (1) managed deer hunt in the prescribed permit year with the exception that disabled persons permanently con-

fined to a wheelchair may participate in more than one managed hunt. Managed deer hunts include:

- 1. On the fenced portion of Caney Mountain Conservation Area, one (1) deer of either sex may be taken with muzzleloading or cap-and-ball firearms from October 19 through October 21, 2002
- 2. On the fenced portion of Peck Ranch Conservation Area, one (1) deer of either sex may be taken with longbow from October 5 through October 6, 2002; one (1) deer of either sex may be taken with modern firearms from October 26 through October 27, 2002; one (1) antlered deer may be taken with muzzleloading or cap-and-ball firearms from October 19 through October 20, 2002.
- 3. On Drury-Mincy Conservation Area, one (1) deer of either sex may be taken with muzzleloading or cap-and-ball firearms from October 26 through October 28, 2002.
- 4. On designated portions of Swan Lake National Wildlife Refuge, two (2) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from January 4 through January 5, 2003. An antlerless deer must be taken and registered prior to taking an antlered deer. Two (2) antlerless deer may be taken with muzzleloading or cap-and-ball firearms from January 11 through January 12, 2003.
- 5. On designated portions of Fort Leonard Wood, one (1) deer of either sex may be taken with historic weapons from December 21 through December 22, 2002.
- 6. On designated portions of Mingo National Wildlife Refuge, one (1) deer of either sex may be taken with muzzleloading or capand-ball firearms from January 4 through January 5, 2003.
- 7. On designated portions of August A. Busch Memorial Conservation Area, one (1) antlerless deer may be taken with longbow from October 14 through October 23, 2002 and one (1) deer of either sex may be taken with longbow from October 1 through October 11, 2002 and from December 26, 2002 through January 7, 2003; one (1) deer of either sex may be taken with historic weapons or modern firearms from October 26 through October 27, 2002; one (1) antlerless deer may be taken with muzzleloading or cap-and-ball firearms from November 18 through November 20, 2002; and one (1) deer of either sex may be taken with muzzleloading or cap-and-ball firearms from November 23 through November 25, 2002.
- 8. On Weldon Spring Conservation Area, one (1) deer of either sex may be taken with longbow from October 1 through October 13, 2002 from October 19 through October 31, 2002, from December 2 through December 22, 2002 and from December 26, 2002 through January 15, 2003; one (1) deer of either sex may be taken with modern firearms from October 26 through October 27, 2002 from November 18 through November 20, 2002 and from November 23 through November 25, 2002.
- 9. On designated portions of James A. Reed Memorial Wildlife Area, two (2) deer, only one (1) of which may be antlered, may be taken with longbow from October 26 through November 3, 2002; and two (2) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from November 4 through November 7, 2002 and from November 11 through November 15, 2002. An antlerless deer must be taken and registered prior to taking an antlered deer.
- 10. On designated portions of U.S. Army Corps of Engineers project lands at Smithville Lake, three (3) deer, only one (1) of which may be antlered, may be taken with modern firearms from November 23 through November 24, 2002 and two (2) deer, only one (1) of which may be antlered, may be taken with modern firearms from January 18 through January 19, 2003. On designated portions of Truman Lake and Stockton Lake, two (2) deer, only one (1) of which may be antlered, may be taken with modern firearms from November 9 through November 10, 2002.
- 11. On designated portions of Whetstone Creek Conservation Area, two (2) deer, only one (1) of which may be antlered, may be taken with modern firearms from November 18 through November

- 20, 2002. An antlerless deer must be taken and registered prior to taking an antlered deer. One (1) deer of either sex may be taken with longbow from October 1 through November 15; and one (1) antlerless deer may be taken with longbow from November 27 through December 31, 2002.
- 12. On designated portions of Forest 44 Conservation Area, two (2) deer, only one (1) of which may be antlered, may be taken with longbow from October 1 through October 14, 2002 and from December 1 through December 31, 2002; and two (2) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from November 18 through November 19, 2002 and from November 25 through November 26, 2002.
- 13. On designated portions of Squaw Creek National Wildlife Refuge, three (3) antlerless deer may be taken with muzzleloading or cap-and-ball firearms from January 11 through January 13, 2003.
- 14. On designated portions of Burr Oak Woods Conservation Area, three (3) deer, only one (1) of which may be antlered, may be taken with longbow from November 11 through November 13, 2002; three (3) deer may be taken with muzzleloading or cap-and-ball firearms from December 2 through December 4, 2002 and from December 9 through December 11, 2002. An antlerless deer must be taken and registered prior to taking an antlered deer.
- 15. On designated portions of Shaw Nature Reserve, three (3) antlerless deer may be taken with muzzleloading or cap-and-ball firearms from December 7 through December 8, 2002 and from January 4 through January 5, 2003.
- 16. On designated portions of Stockton State Park, three (3) antlerless deer may be taken with modern firearms from December 7 through December 8, 2002; on designated portions of Meramec State Park, three (3) antlerless deer may be taken with modern firearms from December 7 through December 8, 2002; on designated portions of Meramec State Park, three (3) deer, only one (1) of which may be antlered, may be taken with modern firearms from December 7 through December 8, 2002; on designated portions of Watkins Mill State Park, three (3) deer, only one (1) of which may be antlered, may be taken with muzzleloading or capand-ball firearms from December 14 through December 15, 2002; on designated portions of Big Oak Tree State Park, three (3) antlerless deer may be taken with muzzleloading or cap-and-ball firearms on December 7, 2002 and January 11, 2003; on designated portions of Knob Noster State Park, three (3) antlerless deer may be taken with modern firearms from December 14 through December 15, 2002; on designated portions of St. Francois State Park, three (3) antlerless deer may be taken with modern firearms from January 11 through January 12, 2003; on designated portions of Pershing State Park, three (3) antlerless deer may be taken with modern firearms from December 7 through December 8, 2002; on designated portions of Rock Bridge State Park, three (3) antlerless deer may be taken with muzzleloading or cap-and-ball firearms from January 4 through January 5, 2003. During the Watkins Mill State Park managed hunt two (2) antlerless deer must be taken and registered before taking an antlered deer.
- 17. On designated portions of Jackson County's Fleming Park, three (3) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from December 2 through December 4, 2002 and from December 18 through December 20, 2002. An antlerless deer must be taken and registered prior to taking an antlered deer.
- 18. On designated portions of Rockwoods Range, two (2) deer, only one (1) of which may be antlered, may be taken with longbow from November 1 through November 30, 2002 and from December 1 through December 31, 2002.
- 19. On designated portions of Charles W. Green Conservation Area, one (1) deer of either sex may be taken with historic weapons or modern firearms from November 2 through November 3, 2002 from November 9 through November 10, 2002 and from November 16 through November 17, 2002.

- 20. On designated portions of Pelican Island Natural Area, two (2) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from November 9 through November 11, 2002.
- 21. On designated portions of Prairie Fork Creek Conservation Area, two (2) antlerless deer may be taken with modern firearms from November 18 through November 20, 2002.
- 22. On designated portions of St. Stanislaus Conservation Area, two (2) deer, only one (1) of which may be antlered, may be taken with longbow from October 1 through November 19 and from November 23 through December 31, 2002.
- 23. On designated portions of Clarence Cannon National Wildlife Refuge, three (3) antlerless deer may be taken with modern firearms from January 4 through January 5, 2003.
- 24. On designated portions of University Forest Conservation Area, one (1) deer of either sex may be taken with modern firearms from October 19 through October 20, 2002.
- 25. On designated portions of Marais Temps Clair Conservation Area, one (1) deer of either sex may be taken with longbow from January 1 through January 15, 2003.
- 26. On designated portions of Otter Slough Conservation Area, one (1) deer of either sex may be taken with longbow from October 1 through October 14, 2002 and from January 1 through January 15, 2003.
- 27. On designated portions of Rockwoods Reservation, two (2) deer, only one (1) of which may be antlered, may be taken with muzzleloading or cap-and-ball firearms from November 18 through November 19, 2002. An antlerless deer must be taken and registered prior to taking an antlered deer.
- (6) Deer management units are defined as follows:
- (A) Unit 1—West of a line comprised of U.S. Hwy. 59 to junction with U.S. Hwy. 71; U.S. Hwy. 71 to junction with Interstate Hwy. 29; Interstate Hwy. 29 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with the Kansas line; East of a line comprised of the Kansas line to junction with the Nebraska line; the Nebraska line to junction with the Iowa line; and South of the Iowa line to junction with U.S. Hwy. 59.
- (B) Unit 2—West of a line comprised of Worth County Hwy. H to junction with Mo. Hwy. 246; Mo. Hwy. 246 to junction with Mo. Hwy. 46; Mo. Hwy. 46 to junction with U.S. Hwy. 136; U.S. Hwy. 136 to junction with U.S. Hwy. 169; U.S. Hwy. 169 to junction with Gentry County Hwy. Z; Gentry County Hwy. Z to junction with Gentry County Hwy. A; Gentry County Hwy. A to junction with DeKalb County Hwy. A; DeKalb County Hwy. A to junction with Mo. Hwy. 33; Mo. Hwy. 33 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with Interstate Hwy. 29; East of a line comprised of Interstate Hwy. 29 to junction with U.S. Hwy. 71; U.S. Hwy. 71 to junction with U.S. Hwy. 59; U.S. Hwy. 59 to junction with the Iowa line; and South of the Iowa line to junction with Worth County Hwy. H.
- (C) Unit 3—West of U.S. Hwy. 65 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with Mo. Hwy. 33; East of a line comprised of Mo. Hwy. 33 to junction with DeKalb County Hwy. A; DeKalb County Hwy. A to junction with Gentry County Hwy. A; Gentry County Hwy. A to junction with Gentry County Hwy. Z; Gentry County Hwy. Z to junction with U.S. Hwy. 169; U.S. Hwy. 169 to junction with U.S. Hwy. 136; U.S. Hwy. 136 to junction with Mo. Hwy. 46; Mo. Hwy. 46 to junction with Mo. Hwy. 246; Mo. Hwy. 46 to junction with Worth County Hwy. H; Worth County Hwy. H to junction with the Iowa line; and South of the Iowa line to junction with U.S. Hwy. 65.
- (D) Unit 4—West of Mo. Hwy. 129 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with the Iowa line; and South of the Iowa line to junction with Mo. Hwy. 129.
- (E) Unit 5—West of U.S. Hwy. 63 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with Mo. Hwy. 129; East

- of Mo. Hwy. 129 to junction with the Iowa line; and South of the Iowa line to junction with U.S. Hwy. 63.
- (F) Unit 6—West of Mo. Hwy. 15 to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with U.S. Hwy. 63; East of U.S. Hwy. 63 to junction with the Iowa line; and South of the Iowa line to junction with Mo. Hwy. 15.
- (G) Unit 7—West of the Illinois line to junction with U.S. Hwy. 36; North of U.S. Hwy. 36 to junction with Mo. Hwy. 15; East of Mo. Hwy. 15 to junction with the Iowa line; and South and West of the Iowa line to junction with the Illinois line.
- (H) Unit 8—West of a line comprised of Interstate Hwy. 29 to junction with U.S. Hwy. 169; U.S. Hwy. 169 to junction with Mo. Hwy. 116; North of Mo. Hwy. 116 to junction with U.S. Hwy. 59; West and North of U.S. Hwy. 59 to junction with the Kansas line; East of the Kansas line to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with Interstate Hwy. 29.
- (I) Unit 9—West and North of a line comprised of U.S. Hwy. 69 to junction with Mo. Hwy. 116; North of Mo. Hwy. 116 to junction with U.S. Hwy. 169; U.S. Hwy. 169 to junction with Interstate Hwy. 29; Interstate Hwy. 29 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with U.S. Hwy. 69.
- (J) Unit 10—West of a line comprised of U.S. Hwy. 65 to junction with the Grand River; the Grand River to junction with U.S. Hwy. 24; U.S. Hwy. 24 to junction with the Missouri River; North of the Missouri River to junction with the Clay County line; East of the Clay County line to junction with Mo. Hwy. 10; North of Mo. Hwy. 10 to junction with U.S. Hwy. 69; U.S. Hwy. 69 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with U.S. Hwy. 65.
- (K) Unit 11—West of U.S. Hwy. 65 to junction with Interstate Hwy. 70; North of Interstate Hwy. 70 to junction with the Jackson County line; East of the Jackson County line to junction with the Missouri River; and South of the Missouri River to junction with U.S. Hwy. 65.
- (L) Unit 12—West of U.S. Hwy. 63 to junction with U.S. Hwy. 24; North of U.S. Hwy. 24 to junction with the Grand River; East of a line comprised of the Grand River to junction with U.S. Hwy. 65; U.S. Hwy. 65 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with U.S. Hwy. 63.
- (M) Unit 13—West of U.S. Hwy. 63 to junction with Interstate Hwy. 70; North of Interstate Hwy. 70 to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with U.S. Hwy. 24; and South of U.S. Hwy. 24 to junction with U.S. Hwy. 63.
- (N) Unit 14—West of a line comprised of Mo. Hwy. 15 to junction with U.S. Hwy. 54; U.S. Hwy. 54 to junction with Interstate Hwy. 70; North of Interstate Hwy. 70 to junction with U.S. Hwy. 63; East of U.S. Hwy. 63 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with Mo. Hwy. 15.
- (O) Unit 15—West of a line comprised of U.S. Hwy. 61 to junction with Pike County Hwy. B; Pike County Hwy. B to junction with Pike County Hwy. C; Pike County Hwy. C to junction with Ralls County Hwy. F; Ralls County Hwy. F to junction with Audrain County Hwy. F; Audrain County Hwy. F to junction with U.S. Hwy. 54; North of U.S. Hwy. 54 to junction with Mo. Hwy. 15; East of Mo. Hwy. 15 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with U.S. Hwy. 61.
- (P) Unit 16—West of U.S. Hwy. 61 to junction with Interstate Hwy. 70; North of Interstate Hwy. 70 to junction with U.S. Hwy. 54; East and South of U.S. Hwy. 54 to junction with U.S. Hwy. 61
- (Q) Unit 17—West and South of the Illinois line to junction with St. Charles County and St. Louis County border; North and West of St. Charles County and St. Louis County border to junction with Interstate Hwy. 70; North of Interstate Hwy. 70 to junction with U.S. Hwy. 61; East of a line comprised of U.S. Hwy. 61 to junction with U.S. Hwy. 54; U.S. Hwy. 54 to junction with Audrain County Hwy. F; Audrain County Hwy. F to junction with Ralls County Hwy. F; Ralls County Hwy. F to junction with Pike

- County Hwy. C; Pike County Hwy. C to junction with Pike County Hwy. B; Pike County Hwy. B to junction with U.S. Hwy. 61; U.S. Hwy. 61 to junction with U.S. Hwy. 36; and South of U.S. Hwy. 36 to junction with the Illinois line.
- (R) Unit 18—West of a line comprised of Mo. Hwy. 131 to junction with Mo. Hwy. 2; Mo. Hwy. 2 to junction with Johnson County Hwy. B; Johnson County Hwy. B to junction with Henry County Hwy. B; Henry County Hwy. B to junction with Mo. Hwy. 7. Mo. Hwy. 7 to junction with Henry County Hwy. K; Henry County Hwy. K to junction with Henry County Hwy. H; Henry County Hwy. H to junction with Henry County Hwy. KK; Henry County Hwy. KK to junction with St. Clair County Hwy. KK; St. Clair County Hwy. KK to junction with Mo. Hwy. 52; North of Mo. Hwy. 52 to junction with the Kansas line; East of the Kansas line to junction with the Jackson County line; South of the Jackson County line to junction with Cass County Hwy. D; West of Cass County Hwy. D to junction with Mo. Hwy. 58; South of Mo. Hwy. 58 to junction with Johnson County line; East of a line that forms the borders of Cass and Johnson counties, Jackson and Johnson counties, and Jackson and Lafayette counties to junction with Interstate Hwy. 70; and South of Interstate Hwy. 70 to junction with Mo. Hwy. 131.
- (S) Unit 19—West and North of a line comprised of U.S. Hwy. 65 to junction with Mo. Hwy. 52; Mo. Hwy. 52 to junction with Mo. Hwy. 13; Mo. Hwy. 13 to junction with St. Clair County Hwy. A; North of a line comprised of St. Clair County Hwy. A to junction with Mo. Hwy. 52; Mo. Hwy. 52 to junction with St. Clair County Hwy. KK; East of a line comprised of St. Clair County Hwy. KK to junction with Henry County Hwy. KK; Henry County Hwy. KK to junction with Henry County Hwy. H; Henry County Hwy. H to junction with Henry County Hwy. To junction with Henry County Hwy. B; Henry County Hwy. B to junction with Henry County Hwy. B; Johnson County Hwy. B to junction with Mo. Hwy. 2; Mo. Hwy. 2 to junction with Mo. Hwy. 131; Mo. Hwy. 131 to junction with Interstate Hwy. 70; South of Interstate Hwy. 70 to junction with U.S. Hwy. 65.
- (T) Unit 20—West of a line comprised of the Missouri River to junction with U.S. Hwy. 63; U.S. Hwy. 63 to junction with U.S. Hwy. 50; North of U.S. Hwy. 50 to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with Interstate Hwy. 70; and South of Interstate Hwy. 70 to junction with the Missouri River.
- (U) Unit 21—West of U.S. Hwy. 54 to junction with Mo. Hwy. 52; North of Mo. Hwy. 52 to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with U.S. Hwy. 50; and South of U.S. Hwy. 50 to junction with U.S. Hwy. 54.
- (V) Unit 22—West of U.S. Hwy. 54 to junction with the Missouri River; North and East of the Missouri River to junction with Interstate Hwy. 70; and South of Interstate Hwy. 70 to junction with U.S. Hwy. 54.
- (W) Unit 23—West of Mo. Hwy. 19 to junction with the Missouri River; North of the Missouri River to junction with U.S. Hwy. 54; East of U.S. Hwy. 54 to junction with Interstate Hwy. 70; and South of Interstate Hwy. 70 to junction with Mo. Hwy. 19.
- (X) Unit 24—West and North of the Missouri River including Howell Island to junction with Mo. Hwy. 19; East of Mo. Hwy. 19 to junction with Interstate Hwy. 70; and South of Interstate Hwy. 70 to junction with the Missouri River.
- (Y) Unit 25—West of Mo. Hwy. 13 to junction with U.S. Hwy. 54; North of U.S. Hwy. 54 to junction with U.S. Hwy. 71; East of U.S. Hwy. 71 to junction with Mo. Hwy. 52; and South of a line comprised of Mo. Hwy. 52 to junction with St. Clair County Hwy. A; St. Clair County Hwy. A to junction with Mo. Hwy. 13.
- (Z) Unit 26—West of U.S. Hwy. 65 to junction with U.S. Hwy. 54; North of U.S. Hwy. 54 to junction with Mo. Hwy. 13; East of Mo. Hwy. 13 to junction with Mo. Hwy. 52; and South of Mo. Hwy. 52 to junction with U.S. Hwy. 65.

- (AA) Unit 27—West and North of U.S. Hwy. 54 to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with Mo. Hwy. 52; and South of Mo. Hwy. 52 to junction with U.S. Hwy. 54
- (BB) Unit 28—West of U.S. Hwy. 63 to junction with Interstate Hwy. 44; North of Interstate Hwy. 44 to junction with Mo. Hwy. 5; East of Mo. Hwy. 5 to junction with U.S. Hwy. 54; and South of U.S. Hwy. 54 to junction with U.S. Hwy. 63.
- (CC) Unit 29—West of Mo. Hwy. 19 to junction with Interstate Hwy. 44; North of Interstate Hwy. 44 to junction with U.S. Hwy. 63; East of U.S. Hwy. 63 to junction with the Missouri River; and South of the Missouri River to junction with Mo. Hwy. 19.
- (DD) Unit 30—West of a line comprised of the Franklin County and St. Louis County border to junction with Interstate Hwy. 44; North of Interstate Hwy. 44 to junction with Mo. Hwy. 19; East of Mo. Hwy. 19 to junction with the Missouri River; and South of a line comprised of the Missouri River to junction with the Franklin County and St. Louis County border.
- (EE) Unit 31—West of a line comprised of Mo. Hwy. 21 to junction with Mo. Hwy. 8; Mo. Hwy. 8 to junction with Mo. Hwy. 185; North and East of Mo. Hwy. 185 to junction with Interstate Hwy. 44; East and South of a line comprised of Interstate Hwy. 44 to junction with the Franklin County and St. Louis County border; West of the Franklin County and St. Louis County border to the Jefferson County and St. Louis County border; and South of the Jefferson County and St. Louis County border to junction with Mo. Hwy. 21.
- (FF) Unit 32—West of the Illinois line to junction with Ste. Genevieve County Hwy. U; North of a line comprised of Ste. Genevieve County Hwy. U to junction with U.S. Hwy. 61; U.S. Hwy. 61 to junction with Mo. Hwy. 32; Mo. Hwy. 32 to junction with Business U.S. Hwy. 67; Business U.S. Hwy. 67 to junction with Mo. Hwy. 8; Mo. Hwy. 8 to junction with Mo. Hwy. 21; East of a line comprised of Mo. Hwy. 21 to junction with the Jefferson County and St. Louis County border; and South of Jefferson County and St. Louis County border to junction with the Illinois line
- (GG) Unit 33—West of a line comprised of U.S. Hwy. 71 to junction with U.S. Hwy. 54; U.S. Hwy. 54 to junction with Mo. Hwy. 32; Mo. Hwy. 32 to junction with Mo. Hwy. 97; Mo. Hwy. 97 to junction with Cedar County Hwy. C; Cedar County Hwy. C to junction with Barton County Hwy. C; Barton County Hwy. F to junction with Barton County Hwy. F; Barton County Hwy. F to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 126; North of Mo. Hwy. 126 to junction with the Kansas line; East of the Kansas line to junction with Mo. Hwy. 52; and South of Mo. Hwy. 52 to junction with U.S. Hwy. 71.
- (HH) Unit 34—West of Mo. Hwy. 13 to junction with Interstate Hwy. 44; North of a line comprised of Interstate Hwy. 44 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Barton County Hwy. F; East of a line comprised of Barton County Hwy. F to junction with Barton County Hwy. C; Barton County Hwy. C to junction with Cedar County Hwy. C; Cedar County Hwy. C to junction with Mo. Hwy. 97; Mo. Hwy. 97 to junction with Mo. Hwy. 32; Mo. Hwy. 32 to junction with U.S. Hwy. 54; and South of U.S. Hwy. 54 to junction with Mo. Hwy. 13.
- (II) Unit 35—West and North of Interstate Hwy. 44 to junction with the Oklahoma line; East of a line comprised of the Oklahoma line to junction with the Kansas line; the Kansas line to junction with Mo. Hwy. 126; and South of a line comprised of Mo. Hwy. 126 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Interstate Hwy. 44.
- (JJ) Unit 36—West of Mo. Hwy. 5 to junction with Mo. Hwy. 32; North of Mo. Hwy. 32 to junction with Mo. Hwy. 13; East of Mo. Hwy. 13 to junction with U.S. Hwy. 54; and South of U.S. Hwy. 54 to junction with Mo. Hwy. 5.
- (KK) Unit 37—West and North of Interstate Hwy. 44 to junction with Mo. Hwy. 13; East of Mo. Hwy. 13 to junction with Mo.

Hwy. 32; and South of Mo. Hwy. 32 to junction with Interstate Hwy. 44.

(LL) Unit 38—West of a line comprised of the Gasconade River to junction with Mo. Hwy. 32; Mo. Hwy. 32 to junction with Mo. Hwy. 95; Mo. Hwy. 95 to junction with U.S. Hwy. 60; North of U.S. Hwy. 60 to junction with U.S. Hwy. 65; and East and South of a line comprised of U.S. Hwy. 65 to junction with Interstate Hwy. 44; Interstate Hwy. 44 to junction with the Gasconade River.

(MM) Unit 39—West of Mo. Hwy. 68 to junction with Mo. Hwy. 32; North of Mo. Hwy. 32 to junction with the Gasconade River; East of the Gasconade River to junction with Interstate Hwy. 44; and South of Interstate Hwy. 44 to junction with Mo. Hwy. 68.

(NN) Unit 40—West of a line comprised of Mo. Hwy. 19 to junction with Dent County Hwy. K; Dent County Hwy. K to junction with Shannon County Hwy. K; Shannon County Hwy. K to junction with Texas County Hwy. K; Texas County Hwy. K to junction with Mo. Hwy. 17; Mo. Hwy. 17 to junction with U.S. Hwy. 60; North of U.S. Hwy. 60 to junction with Mo. Hwy. 95; East of Mo. Hwy. 95 to junction with Mo. Hwy. 32; and South of Mo. Hwy. 32 to junction with Mo. Hwy. 19.

(OO) Unit 41—West of a line comprised of Mo. Hwy. 185 to junction with Mo. Hwy. 8; Mo. Hwy. 8 to junction with Business U.S. Hwy. 67; Business U.S. Hwy. 67 to junction with Mo. Hwy. 32; North of a line comprised of Mo. Hwy. 32 to junction with Mo. Hwy. 72; Mo. Hwy. 72 to junction with Dent County Hwy. B; Dent County Hwy. B to junction with Mo. Hwy. 19; East of a line comprised of Mo. Hwy. 19 to junction with Mo. Hwy. 68; Mo. Hwy. 68 to junction with Interstate Hwy. 44; and South of Interstate Hwy. 44 to junction with Mo. Hwy. 185.

(PP) Unit 42—West of a line comprised of Mo. Hwy. 21 to junction with Mo. Hwy. 49; Mo. Hwy. 49 to junction with Mo. Hwy. 34; North of a line comprised of Mo. Hwy. 34 to junction with Mo. Hwy. 21; Mo. Hwy. 21 to junction with Mo. Hwy. 106; Mo. Hwy. 106 to junction with Mo. Hwy. 19; Mo. Hwy. 19 to junction with U.S. Hwy. 60; U.S. Hwy. 60 to junction with Mo. Hwy. 17; East of a line comprised of Mo. Hwy. 17 to junction with Texas County Hwy. K; Texas County Hwy. K to junction with Shannon County Hwy. K; Shannon County Hwy. K to junction with Dent County Hwy. K; Dent County Hwy. K to junction with Dent County Hwy. B; and South of a line comprised of Dent County Hwy. B to junction with Mo. Hwy. 72; Mo. Hwy. 72 to junction with Mo. Hwy. 32; Mo. Hwy. 32 to junction with Mo. Hwy. 21.

(QQ) Unit 43-West of a line comprised of Mo. Hwy. 51 to junction with Mo. Hwy. 91; Mo. Hwy. 91 to junction with Stoddard County Hwy. C; North of a line comprised of Stoddard County Hwy. C to junction with Bollinger County Hwy. C; Bollinger County Hwy. C to junction with Bollinger County Hwy. P; Bollinger County Hwy. P to junction with Wayne County Hwy. P; Wayne County Hwy. P to junction with Wayne County Hwy. E; Wayne County Hwy. E to junction with Wayne County Hwy. C; Wayne County Hwy. C to junction with Mo. Hwy. 34; Mo. Hwy. 34 to junction with Mo. Hwy. 49; East of a line comprised of Mo. Hwy. 49 to junction with Mo. Hwy. 21; Mo. Hwy. 21 to junction with Mo. Hwy. 32; and South of a line comprised of Mo. Hwy. 32 to junction with U.S. Hwy. 61; U.S. Hwy. 61 to junction with Ste. Genevieve County Hwy. U; Ste. Genevieve County Hwy. U to junction with the Illinois line; the Illinois line to junction with Mo. Hwy. 51.

(RR) Unit 44—West and South of the Illinois line to junction with Mo. Hwy. 74; North of a line comprised of Mo. Hwy. 74 to junction with Mo. Hwy. 25; Mo. Hwy. 25 to junction with Mo. Hwy. 91; and East of a line comprised of Mo. Hwy. 91 to junction with Mo. Hwy. 51; Mo. Hwy. 51 to junction with the Illinois line.

(SS) Unit 45—West of Mo. Hwy. 37 to junction with Barry County Hwy. B; North of a line comprised of Barry County Hwy.

B to junction with Mo. Hwy. 97; Mo. Hwy. 97 to junction with Mo. Hwy. 86; Mo. Hwy. 86 to junction with U.S. Hwy. 60; U.S. Hwy. 60 to junction with the Oklahoma line; East of the Oklahoma line to junction with Interstate Hwy. 44; and South of Interstate Hwy. 44 to junction with Mo. Hwy. 37.

(TT) Unit 46—West of Mo. Hwy. 37 to junction with the Arkansas line; North of the Arkansas line to junction with the Oklahoma line; East of the Oklahoma line to junction with U.S. Hwy. 60; and South of a line comprised of U.S. Hwy. 60 to junction with Mo. Hwy. 86; Mo. Hwy. 86 to junction with Mo. Hwy. 97; Mo. Hwy. 97 to junction with Barry County Hwy. B; Barry County Hwy. B to junction with Mo. Hwy. 37.

(UU) Unit 47—West of a line comprised of U.S. Hwy. 65 to junction with U.S. Hwy. 60; U.S. Hwy. 60 to junction with Mo. Hwy. 125; Mo. Hwy. 125 to junction with Mo. Hwy. 14; Mo. Hwy. 14 to junction with U.S. Hwy. 65; U.S. Hwy. 65 to junction with Christian County Hwy. EE; Christian County Hwy. EE to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 176; North of a line comprised of Mo. Hwy. 176 to junction with Mo. Hwy. 13; Mo. Hwy. 13 to junction with Mo. Hwy. 173; Mo. Hwy. 173 to junction with U.S. Hwy. 60; U.S. Hwy. 60 to junction with Mo. Hwy. 37; East of Mo. Hwy. 37 to junction with Interstate Hwy. 44; and South of Interstate Hwy. 44 to junction with U.S. Hwy. 65.

(VV) Unit 48—West of U.S. Hwy. 65 to junction with the Arkansas line; North of the Arkansas line to junction with Mo. Hwy. 37; East of Mo. Hwy. 37 to junction with U.S. Hwy. 60; and South of a line comprised of U.S. Hwy. 60 to junction with Mo. Hwy. 173; Mo. Hwy. 173 to junction with Mo. Hwy. 13; Mo. Hwy. 13 to junction with Mo. Hwy. 176; Mo. Hwy. 176 to junction with U.S. Hwy. 65.

(WW) Unit 49—West of a line comprised of Mo. Hwy. 5 to junction with Mo. Hwy. 95; Mo. Hwy. 95 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 125; Mo. Hwy. 125 to the Arkansas line; North of the Arkansas line to junction with U.S. Hwy. 65; East of U.S. Hwy. 65 to junction with Mo. Hwy. 176; Mo. Hwy. 176 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Christian County Hwy. EE; Christian County Hwy. EE to junction with U.S. Hwy. 65; U.S. Hwy. 65 to junction with Mo. Hwy. 14; Mo. Hwy. 14 to junction with Mo. Hwy. 125; Mo. Hwy. 125 to junction with U.S. Hwy. 60; and South of U.S. Hwy. 60 to junction with Mo. Hwy. 5.

(XX) Unit 50—West of U.S. Hwy. 63 to junction with Mo. Hwy. 14; North of Mo. Hwy. 14 to junction with Mo. Hwy. 5; East of Mo. Hwy. 5 to junction with U.S. Hwy. 60; and South of U.S. Hwy. 60 to junction with U.S. Hwy. 63.

(YY) Unit 51—West of a line comprised of U.S. Hwy. 63 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 101; Mo. Hwy. 101 to junction with the Arkansas line; North of the Arkansas line to junction with Mo. Hwy. 125; East of a line comprised of Mo. Hwy. 125 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 95; Mo. Hwy. 95 to junction with Mo. Hwy. 5; Mo. Hwy. 5 to junction with Mo. Hwy. 14; and South of Mo. Hwy. 14 to junction with U.S. Hwy.

(ZZ) Unit 52—West of a line comprised of Mo. Hwy. 19 to junction with the Eleven Point River; the Eleven Point River to junction with the Arkansas line; North of the Arkansas line to junction with Mo. Hwy. 101; East of a line comprised of Mo. Hwy. 101 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with U.S. Hwy. 63; U.S. Hwy. 63 to junction with U.S. Hwy. 60; and South of U.S. Hwy. 60 to junction with Mo. Hwy. 19.

(AAA) Unit 53—West of Mo. Hwy. 21 to junction with U.S. Hwy. 160; North of U.S. Hwy. 160 to junction with the Eleven Point River; East of a line comprised of the Eleven Point River to junction with Mo. Hwy. 19; Mo. Hwy. 19 to junction with Mo.

Hwy. 106; and South of Mo. Hwy. 106 to junction with Mo. Hwy. 21.

(BBB) Unit 54—West of U.S. Hwy. 67 to junction with the Arkansas line; North of the Arkansas line to junction with the Eleven Point River; East of the Eleven Point River to junction with U.S. Hwy. 160; and South of U.S. Hwy. 160 to junction with U.S. Hwy. 67.

(CCC) Unit 55—West and South of a line comprised of Wayne County Hwy. C to junction with Wayne County Hwy. E; Wayne County Hwy. E to junction with Wayne County Hwy. P; Wayne County Hwy. P to junction with Bollinger County Hwy. P; Bollinger County Hwy. P to junction with Mo. Hwy. 51; Mo. Hwy. 51 to junction with U.S. Hwy. 60; North of a line comprised of U.S. Hwy. 60 to junction with U.S. Hwy. 160; U.S. Hwy. 160 to junction with Mo. Hwy. 21; East of Mo. Hwy. 21 to junction with Mo. Hwy. 34; and South of Mo. Hwy. 34 to junction with Wayne County Hwy. C.

(DDD) Unit 56—West of a line comprised of the Illinois line to junction with Interstate Hwy. 57; Interstate Hwy. 57 to junction with U.S. Hwy. 62; U.S. Hwy. 62 to junction with Mo. Hwy. 77; East of Mo. Hwy. 77 to junction with U.S. Hwy. 61; U.S. Hwy. 61 to junction with Mo. Hwy. 91; Mo. Hwy. 91 to junction with Stoddard County Hwy. N; Stoddard County Hwy. N to junction with U.S. Hwy. 60; North of U.S. Hwy. 60 to junction with Mo. Hwy. 51; East of Mo. Hwy. 51 to junction with Bollinger County Hwy. C; and South of a line comprised of Bollinger County Hwy. C to junction with Stoddard County Hwy. C; Stoddard County Hwy. C to junction with Mo. Hwy. 91; Mo. Hwy. 91 to junction with Mo. Hwy. 25; Mo. Hwy. 25 to junction with Mo. Hwy. 74; Mo. Hwy. 74 to junction with the Illinois line.

(EEE) Unit 57—West of a line comprised of the Illinois line to junction with the Kentucky line; the Kentucky line to junction with the Tennessee line; the Tennessee line to junction with the Arkansas line; North and East of the Arkansas line to junction with U.S. Hwy. 67; East of U.S. Hwy. 67 to junction with U.S. Hwy. 60; and South of a line comprised of U.S. Hwy. 60 to junction with Stoddard County Hwy. N; Stoddard County Hwy. N to junction with Mo. Hwy. 91; Mo. Hwy. 91 to junction with U.S. Hwy. 61; U.S. Hwy. 61 to junction with Mo. Hwy. 77; West of Mo. Hwy. 77 to junction with U.S. Hwy. 62; South of U.S. Hwy. 62 to junction with Interstate Hwy. 57; Interstate Hwy. 57 to junction with the Illinois line.

(FFF) Unit 58—West of a line that forms the borders between Jackson and Lafayette counties, Jackson and Johnson counties and Cass and Johnson counties to junction with Mo. Hwy. 58; North of a line comprised of Mo. Hwy. 58 to junction with Cass County Hwy. D; East of Cass County Hwy. D to junction with Jackson County line; North of Jackson County line to junction with the Kansas line; East and North of Kansas line to junction with U.S. Hwy. 59; South and East of U.S. Hwy. 59 to junction with Mo. Hwy. 116; South of Mo. Hwy. 116 to junction with U.S. Hwy. 69; West of U.S. Hwy. 69 to junction with Mo. Hwy. 10; South of Mo. Hwy. 10 to Ray County line; West of the Ray County line to junction with the Missouri River; and South of the Missouri River to junction with the Lafayette County line.

(GGG) Unit 59—Includes the area within the border of St. Louis County and the City of St. Louis.

SUMMARY OF COMMENTS: Seasons and limits are excepted from the requirement for filing as a proposed rule under section 536.021, RSMo.

This rule filed May 9, 2002, effective June 1, 2002.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 9—Wildlife Code: Confined Wildlife: Privileges, Permits, Standards

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

3 CSR 10-9.353 Privileges of Class I and Class II Wildlife Breeders is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on April 1, 2002 (27 MoReg 552–553). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received during the comment period.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 9—Wildlife Code: Confined Wildlife: Privileges, Permits, Standards

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

3 CSR 10-9.565 Licensed Hunting Preserve: Privileges is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on April 1, 2002 (27 MoReg 553–554). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received during the comment period.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 9—Wildlife Code: Confined Wildlife: Privileges, Permits, Standards

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission adopts a rule as follows:

3 CSR 10-9.566 Licensed Hunting Preserve: Records Required is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on April 1, 2002 (27 MoReg 554). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule

becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received during the comment period.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 10—Wildlife Code: Commercial Permits: Seasons, Methods, Limits

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

3 CSR 10-10.725 is amended.

This amendment relates to hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed rule.

3 CSR 10-10.725 Commercial Fishing: Seasons, Methods

PURPOSE: This amendment eliminates the use of hooks on the Missouri River upstream from U.S. Highway 169; prohibits harvest of shovelnose sturgeon on the Missouri River upstream from U.S. Highway 169; requires that bowfin and shovelnose sturgeon be kept whole and intact and that paddlefish ovaries be kept intact while on the waters of the state; and, prohibits the possession of extracted fish eggs while on waters of the state.

- (1) Commercial fish, and live bait for personal use, may be taken in any numbers by the holder of a commercial fishing permit from commercial waters with seines, gill nets, trammel nets, hoop nets with or without wings, trotlines, throwlines, limb lines, bank lines or jug or block lines and any number of hooks, except on the Missouri River upstream from U.S. Highway 169 where hooks may not be used.
- (3) On the Missouri River upstream from U.S. Highway 169 or banks thereof, game fish (including channel, blue and flathead cat-fish and paddlefish), shovelnose sturgeon, pallid sturgeon and lake sturgeon may not be possessed or transported while fishing by commercial methods or while possessing commercial fishing gear and shall be returned to the water unharmed immediately after being caught.
- (4) On the Missouri River downstream from U.S. Highway 169 or banks thereof, game fish (including channel, blue and flathead catfish and paddlefish), shovelnose sturgeon more than thirty inches (30") in length (measured from tip of snout to fork of tail), pallid sturgeon and lake sturgeon may not be possessed or transported while fishing by commercial methods or while possessing commercial fishing gear and shall be returned to the water unharmed immediately after being caught.
- (5) On that part of the St. Francis River which forms the boundary between the states of Arkansas and Missouri, channel, blue and flathead catfish less than fifteen inches (15") in total length, other game fish (including paddlefish), shovelnose sturgeon more than thirty inches (30") in length (measured from tip of snout to fork of tail), pallid sturgeon and lake sturgeon may not be possessed or transported while fishing by commercial methods or while possessing commercial fishing gear and shall be returned to the water unharmed immediately after being caught.

- (6) On the Mississippi River, except in Sand Chute below the mouth of Salt River in Pike County, and also on waters which exist temporarily through overflow from the Mississippi River east of the Missouri Pacific Railroad between Cape Girardeau and Scott City and east of the Mississippi River mainline and setback levees between Commerce and the Arkansas state line, channel, blue and flathead catfish less than fifteen inches (15") in total length, paddlefish less than twenty-four inches (24") in length (measured from eye to fork of tail), other game fish, shovelnose sturgeon more than thirty inches (30") in length (measured from tip of snout to fork of tail), pallid sturgeon and lake sturgeon may not be possessed or transported while fishing by commercial methods or while possessing commercial fishing gear and shall be returned to the water unharmed immediately after being caught.
- (7) While on waters of the state and adjacent banks, the head and tail must remain attached to all fish, bowfin and shovelnose sturgeon must remain whole and intact, and the ovaries of paddlefish must remain intact and accompany the fish from which they were removed.
- (8) Commercial fishing gear may not be used or set within three hundred (300) yards of any spillway, lock, dam or the mouth of any tributary stream or ditch, or in waters existing temporarily through overflow outside the banks of the specified rivers except as provided in section (1) of this rule, and may not be used to take fish underneath or through the ice. Seines, gill nets and trammel nets having a mesh smaller than two inches (2") bar measure, measured when wet, may not be used. Hoop nets and wings having a mesh smaller than one and one-half inches (1 1/2") bar measure, measured when wet, may not be used. Hooks attached to trotlines or throwlines shall be staged not less than two feet (2') apart. All gear used for commercial fishing shall be labeled with tags furnished by the department and placed as indicated on the tags. Portions of trotlines and jug or block lines, throwlines, bank lines and limb lines must have the commercial tag number under which they are being fished attached to each line. Commercial fishing gear may not be possessed on waters of the state or adjacent banks that are not open to commercial fishing, except during transportation by boat from the nearest access location to commercial fishing waters as determined by the department.
- (9) The possession of game fish while in the act of using commercial fishing gear or aboard a boat transporting fish taken by commercial fishing gear is prohibited.
- (10) The possession of extracted eggs of any fish species, except as provided in section (7) of this rule, is prohibited while on waters of the state and adjacent banks.

SUMMARY OF PUBLIC COMMENTS: Seasons and limits are excepted from the requirement of filing as a proposed amendment under section 536.021, RSMo.

This amendment filed May 9, 2002, effective July 1, 2002.

Title 3—DEPARTMENT OF CONSERVATION
Division 10—Conservation Commission
Chapter 10—Wildlife Code: Commercial Permits:
Seasons, Methods, Limits

ORDER OF RULEMAKING

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

This amendment relates to hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed rule.

3 CSR 10-10.727 Record Keeping and Reporting Required: Commercial Fishermen

PURPOSE: This amendment changes record keeping and reporting requirements for commercial fishermen.

- (1) Commercial fishermen shall keep a dated receipt that includes the weight and species of fish, and the weight of extracted fish eggs (raw or processed) of each species, that were sold or given away and the name, address and signature of the recipient. These receipts shall be retained for three (3) years and shall be made available for inspection by an authorized agent of the department at any reasonable time.
- (2) Commercial fishermen shall submit a monthly report on a form furnished by the Department, **which is included herein**, showing the origin (water area), weight and species of fish and fish eggs taken by him/her during the preceding month, or a negative report if none were taken. Monthly reports must be received by the department within thirty (30) days of the end of each month. Failure to submit a monthly report shall be sufficient cause for the department to revoke the current year's commercial fishing permit and deny renewal of the permit for the following year.

SUMMARY OF PUBLIC COMMENTS: Seasons and limits are excepted from the requirement of filing as a proposed amendment under section 536.021, RSMo.

This amendment filed May 9, 2002, effective July 1, 2002.

Title 8—DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS
Division 20—Labor and Industrial Relations Commission
Chapter 8—Tort Victims Appeals

ORDER OF RULEMAKING

By the authority vested in the Labor and Industrial Relations Commission under section 286.060, RSMo 2000, the division adopts a rule as follows:

8 CSR 20-8.010 Review of Decisions Issued by the Division of Workers' Compensation in Tort Victims' Compensation Cases **is adopted**.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on March 1, 2002 (27 MoReg 399). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 13—DEPARTMENT OF SOCIAL SERVICES Division 40—Division of Family Services Chapter 30—Permanency Planning For Children

ORDER OF RULEMAKING

By the authority vested in the Division of Family Services, Department of Social Services under section 207.020, RSMo 2000, the director adopts a rule as follows:

13 CSR 40-30.020 Attorney Fees and Guardian *Ad Litem* Fees in Termination of Parental Rights Cases is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on March 1, 2002 (27 MoReg 406–407). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The Division of Family Services received one (1) comment on the proposed rule.

COMMENT: The Court Administrator for the Family Court of St. Louis County submitted a statement in opposition to capping the hourly fee rate and the total compensation rate for legal services provided in termination of parental rights cases. Concern was expressed that competition for quality legal representation is intense and that local attorney fees reflect that fact. The Court Administrator asked the division to give careful consideration to the needs of the families when establishing funding priorities in termination in parental rights cases and urged the division to find that the fee limitations contained in the proposed rule would not permit the Family Court to access quality legal representation for children and parents on a continuing basis in a metropolitan area. A higher fee cap and maximum case compensation amount was strongly recommended in order to enable effective competition for legal services to be achieved. The Court Administrator urged that, if some sort of fee structure must be imposed in these cases, a fee cap of at least one hundred dollars (\$100) per hour would be essential and that a maximum compensation amount of one thousand five hundred dollars (\$1,500) for uncontested matters and five thousand dollars (\$5,000) for contested cases would result in a more adequate compensation rate.

RESPONSE: The division understands and appreciates the concerns expressed in the comment submitted by the Court Administrator. The division agrees that it is essential that the best quality legal representation and guardian ad litem services be obtained and provided in these important cases involving termination of parental rights. The division is doing its best to ensure that limited fiscal resources are utilized in a manner that enables legal services providers to be compensated in an amount that is fair and that will not result in a diminution in the quality of legal services provided. It is believed that the proposed rule, as drafted, will accomplish that purpose especially inasmuch as the proposed rule does make provisions for payments above the maximum amounts for extended or complex litigation upon approval by the court. The division believes that the proposed rule achieves the aim of providing fair and uniform compensation in a manner which promotes fiscal responsibility and does not adversely impact on the quality of legal services provided. The division will closely monitor the implementation of this rule to determine if it results in any noticeable adverse impact on the quality of legal services provided in termination of parental rights cases. Therefore, no changes have been made to this proposed rule as a result of this comment.

Title 13—DEPARTMENT OF SOCIAL SERVICES Division 40—Division of Family Services Chapter 60—Licensing of Foster Family Homes

ORDER OF RULEMAKING

By the authority vested in the director of the Division of Family Services under section 210.221, RSMo 2000, the director amends a rule as follows:

13 CSR 40-60.050 Care of Children is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on February 15, 2002 (27 MoReg 341). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 45—Records Management

ORDER OF RULEMAKING

By the authority vested in the secretary of state under section 536.023, RSMo 2000, the secretary rescinds a rule as follows:

15 CSR 30-45.030 Local Records Grant Program Administration is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on March 1, 2002 (27 MoReg 407). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 45—Records Management

ORDER OF RULEMAKING

By the authority vested in the secretary of state under section 536.023, RSMo 2000, the secretary adopts a rule as follows:

15 CSR 30-45.030 Local Records Grant Program Administration is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on March 1, 2002 (27 MoReg 407–408). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.406(a) and 409.413(a), RSMo 2000, the commissioner amends a rule as follows:

15 CSR 30-50.010 is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on January 16, 2002 (27 MoReg 129–130). Those sections with changes are reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed amendment.

COMMENT: Brian C. Underwood with A.G. Edwards & Sons, Inc., a registered broker-dealer, requested that the term "Investment Adviser Qualifying Officer," which is used in 15 CSR 30-51.030, be defined since it is not a commonly used term. He also noted that 15 CSR 30-50.020, which requires that certain filings be made through the Central Registration Depository or the Investment Adviser Registration Depository, does not expressly authorize electronic signatures. (See additional comments with respect to 15 CSR 30-50.020.) Mr. Underwood suggested incorporating a definition of "sign" adapted from the Uniform Electronic Transactions Act.

RESPONSE AND EXPLANATION OF CHANGE: Definitions of "Investment Adviser Qualifying Officer" and "Sign" or "Signature" will be included to clarify the intent of the rules.

15 CSR 30-50.010 Definitions

- (1) When the terms listed in this rule are used in the Missouri Uniform Securities Act (the Act), these rules, the forms and the orders of the commissioner, the following meanings shall apply (unless the context otherwise requires), together with those which may later appear to the extent that they are not inconsistent with definitions provided in Chapter 409, RSMo:
- (G) CRD System means the NASAA/NASD Central Registration Depository;
- (H) Control and controlling person mean possession of the power, authority or means to engage in the management or policy-making functions of a person, directly or indirectly, through ownership of securities, by contract or otherwise. An officer, director, partner or trustee or individual occupying similar status or performing similar functions or a person owning ten percent (10%) or more of the outstanding shares of any class or classes of securities of another shall be presumed a controlling person;
- (I) Division or Securities Division means the staff of the Division of Securities, Office of Secretary of State of Missouri;
- (J) IARD System means the NASAA/SEC Investment Adviser Registration Depository;
- (K) Investment adviser qualifying officer means an officer designated by the investment adviser as responsible for supervision of investment adviser representatives associated with the investment adviser, or if the investment adviser is a natural person or partnership, the person or partner responsible for supervision of investment adviser representatives;
- (L) Investment company, for the purpose of section 409.305(j) of the Act, means an issuer defined in Section 3, Investment Company Act of 1940;
- (M) Isolated, for the purpose of section 409.402(b)(1) of the Act, means standing alone, disconnected from any other transactions:
- (N) NASD means the National Association of Securities Dealers, Inc.;
- (O) NASAA means the National Association of Securities Administrators Association, Inc.;
 - (P) Parent means an affiliate controlling another person;
- (Q) Predecessor means a person, a major portion of whose business, assets or control has been acquired by another;
 - (R) Promoter means a person who-
- 1. Acting alone or in conjunction with one (1) or more other persons, directly or indirectly, takes the initiative in founding and organizing or reorganizing the business or enterprise of an issuer; and
- 2. In connection with the founding and organizing or reorganizing of the business or enterprise of an issuer, directly or indirectly, receives in consideration of services or property, or both services and property, a substantial amount of any class of securities of the issuer or a substantial amount of the proceeds from the sale of any class of securities;

- (S) Registrant means an applicant for whom, or an issuer with respect to whose securities, a registration has become effective;
 - (T) Sale or sell-
- 1. For the purpose of section 409.401(m)(6)(C) of the Act, the phrase "any act incident to a class vote by stockholders" shall include the issuance of securities by a corporation and the distribution of securities to its security holders or to another corporation or to the security holders of such other corporation, by the issuing corporation or by such other corporation in connection with any merger, consolidation, reclassification of securities or sale of corporate assets referred to in section 409.401(m)(6)(C); and
- 2. For the purpose of section 409.401(m)(6)(D) of the Act, the phrase "any act incident to a judicially approved reorganization," shall include the issuance of securities of the types defined in Section 3(a)(7) (receivers' and trustees' certificates) and in Section 3(a)(10) (securities issued in reorganizations) of the Securities Act of 1933;
 - (U) Sign or signature means-
- 1. To execute or adopt a tangible symbol with the present intent to authenticate a record; or
- 2. To attach or logically associate an electronic symbol, sound, or process to or with;
- (V) SEC means the United States Securities and Exchange Commission:
- (W) Subsidiary means an affiliate controlled by another person;
- (X) Underwriter means a person who has purchased from an issuer or an affiliate of an issuer with a view to, or offers or sells for an issuer or an affiliate of an issuer in connection with, the distribution of any security, or participates or has a participation in the direct or indirect underwriting of any such undertaking. Not included is a person whose interest is limited to a commission from an underwriter or dealer not in excess of the usual and customary distributors' or sellers' commission; and
- (Y) For the purpose of section 409.402(a)(6) of the Act, the words industrial loan association, or similar association organized and supervised under the laws of this state do not include in their meaning any loan and investment company formed under the provisions of Chapter 368, RSMo.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.406, 409.407, 409.413 and 409.414, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.020 General Instructions is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 130). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.406, 409.407, 409.413 and 409.414, RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-50.020 is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 130–131). Those sections with changes are reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed rule.

COMMENT: Brian C. Underwood with A.G. Edwards & Sons, Inc., a registered broker-dealer, recommended that subparagraph (2)(B) permit "written communications" to be submitted electronically. Mr. Underwood also suggested that (2)(A) did not expressly authorize electronic signatures.

RESPONSE AND EXPLANATION OF CHANGE: The suggested modifications have been made to expand the use of electronic communication. "Signature" has been defined in 15 CSR 30-50.010(1)(U) to clarify that the commissioner recognizes electronic signatures.

15 CSR 30-50.020 General Instructions

- (2) Filing Documents with the Securities Division.
- (A) A document is filed when it is received in the office of the commissioner, or filed through the CRD System, the IARD System, or other electronic system approved by the commissioner. All applications for registration and filings shall be dated and bear a signature.
- (B) All written communications, including applications and inquiries not submitted through the CRD System or the IARD System, shall be delivered by mail or carrier to Secretary of State, Securities Division, 600 W. Main Street, PO Box 1276, Jefferson City, MO 65102; or by facsimile to Secretary of State, Securities Division, (573) 526-3124; or by electronic mail to an address approved by the commissioner in a manner suitable for maintenance as a permanent record of the office (section 409.414(a), RSMo).
- (C) Only the original executed copy of each form is required. If a document pertains to more than one (1) subject or application, a separate form, including cover or transmittal letter, or two (2) or more copies of the letter commensurate with the number of items submitted, should be filed.
- (D) All forms and documents shall be printed, photocopied, typewritten, in electronic format, or prepared by a similar process which, in the opinion of the commissioner, produces copies suitable for a permanent record. All forms and documents shall be clear, easily readable and suitable for repeated photocopying. Exhibits may be attached and shall be properly marked and identified
- (E) All applications and other documents received and filed in the division become a part of its permanent records (section 409.414(a), RSMo) and may not be returned to the applicant or correspondent.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.305, 409.307 and 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.030 Fees is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 131). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.305, 409.307 and 409.413, RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-50.030 Fees is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 131–132). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.040 Forms is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 132). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413(a), RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-50.040 is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 132–133). Those sections with changes are reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed rule.

COMMENT: Stacy Tellman, Securities Licensing Examiner, and Carrie Jones, Licensing Coordinator, with the Securities Division jointly recommended that the proposed Form SADV-1 include a section providing for the designation of an investment adviser qualifying officer.

RESPONSE AND EXPLANATION OF CHANGE: The suggested revision to Form SADV-1 has been made.

15 CSR 30-50.040 Forms

- (1) The following forms have been adopted and approved for filing with the division:
- (A) Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives—
- 1. Form BD—Uniform Application for Broker-Dealer Registration approved July 1999, OMB Approval Number 3235-0012, or any form which substantially comports with the specified form:
- 2. Form BDW—Uniform Request for Broker-Dealer Withdrawal approved August 1999, OMB Approval Number 3235-0018, or any form which substantially comports with the specified form:
- 3. Form SBD-1—Missouri Broker-Dealer Affidavit revised October 2001, or any form which substantially comports with the specified form;
- 4. Form X-17A-5—Financial and Operational Combined Uniform Single Report approved October 1999, OMB Approval Number 3235-0123, or any form which substantially comports with the specified form;
- 5. Form U-4—Uniform Application for Securities Industry Registration or Transfer adopted by the North American Securities Administration Association (NASAA) on April 29, 2001, or any form which substantially comports with the specified form;
- 6. Form U-5—Uniform Termination Notice for Securities Industry Registration adopted by the NASAA on April 29, 2001, or any form which substantially comports with the specified form;
- 7. Form SA-1—Missouri Application for Renewal Registration as Agent revised October 2001, or any form which substantially comports with the specified form;
- 8. Form ADV—Uniform Application for Investment Adviser Registration approved January 1999, OMB Approval Number 3235-0049, or any form which substantially comports with the specified form;
- 9. Form ADV-W—Uniform Notice of Withdrawal from Registration as Investment Adviser approved January 1999, OMB Approval Number 3235-0313, or any form which substantially comports with the specified form;
- 10. Form SADV-1—State Covered Investment Adviser Affidavit revised March 2002, or any form which substantially comports with the specified form;
- 11. Form SADV-SH—State Application for Hardship Exemption from IARD revised October 2001, or any form which substantially comports with the specified form;
- 12. Form U-2—Uniform Consent to Service of Process adopted by NASAA and revised November 1997, or any form which substantially comports with the specified form.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.120 Application for Renewal Registration as Agent **is rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 133–134). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.130 Registration of Securities by Notification is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 134). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.150 Application for Registration of Securities by Qualification **is rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 134). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.160 Investment Company Report of Sales is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 134). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.170 In the Matter of the Condition of is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 134–135). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.180 Individual Affidavit is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 135). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.210 Statement of Claim for the Exemption of Securities of a Cooperative Association **is rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 135). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 50—General

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-50.220 Application for Exception from Definition of Agent for Sellers of Agricultural Cooperative Securities **is rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 135). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202 and 409.413(a), RSMo 2000, the commissioner amends a rule as follows:

15 CSR 30-51.010 is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on January 16, 2002 (27 MoReg 135–136). Those sections with changes are reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed amendment.

COMMENT: Brian C. Underwood of A. G. Edwards & Sons, Inc., a registered broker-dealer, expressed his concern that sub-paragraph (1) is inconsistent with section 409.201(c)(2), RSMo which exempts a broker-dealer properly registered without the imposition of a condition under section 409.204(b)(5), RSMo from having to register as an investment adviser. Mr. Underwood also expressed his view that subparagraph (4) is inconsistent with section 409.201(c)(2), RSMo for the reasons previously discussed with respect to subparagraph (1).

RESPONSE AND EXPLANATION OF CHANGE: Nothing in section (1) of this rule appears to pertain to the issues raised in Mr. Underwood's comments. The comment concerning section (4) has merit. Section 409.204(b)(5) provides that the "commissioner shall consider that an investment adviser is not necessarily qualified solely on the basis of experience as a broker-dealer or agent." This provision suggests that although a broker-dealer may seek to transact business as an investment adviser under the terms of section 409.204(c)(2), the commissioner must evaluate the broker-dealer's qualification to do so. Requiring the filing of the Form ADV is necessary for that evaluation. Section (4) is changed to permit this review of the application.

15 CSR 30-51.010 General Instructions

(4) Broker-Dealer with Investment Adviser or Federal Covered Adviser Capacity. A broker-dealer, that is not also registered as an investment adviser or filed as a federal covered adviser, is not qualified to employ or supervise investment adviser representatives unless the broker-dealer has filed a Form ADV with its initial or renewal registration as required in 15 CSR 30-51.020(1)(C).

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers and Representatives of Investment Advisers

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202 and 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-51.020 Application for Registration is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 136). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202 and 409.413(a), RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-51.020 is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 136–138). Those sections with changes are reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed rule.

COMMENT: Brian C. Underwood of A. G. Edwards & Sons, Inc., a registered broker-dealer, offered a general comment that it should be clear that any filing through CRD or IARD is sufficient.

Mr. Underwood also commented that in subparagraph (1)(A)3. it should be made clear that whether an NASD member files a recent audited financial statement or Form X-17A-5 FOCUS Report is at the option of the NASD member.

Finally, Mr. Underwood commented that in subparagraph (1)(C) is inconsistent with the provisions of section 409.201(c)(2), RSMo which exempts entities already registered as broker-dealers from having to make any additional filings to perform as an investment adviser

RESPONSE AND EXPLANATION OF CHANGE: The commissioner favors uniformity in the application process. The changes to this rule and the other rules in this chapter further that policy. This rule clearly authorizes use of the CRD and IARD systems, but at the present time some materials or documents must be submitted in another format.

In response to Mr. Underwood's comment concerning paragraph (1)(A)3, it is the view of the commissioner that paragraph (1)(A)3, already provides an option to the applicant.

The last comment of Mr. Underwood to this rule has merit. However, section 409.204(b)(5) provides that the "commissioner shall consider that an investment adviser is not necessarily qualified solely on the basis of experience as a broker-dealer or agent." This provision suggests that although a broker-dealer may seek to transact business as an investment adviser under the terms of section 409.204(c)(2), the commissioner must evaluate the broker-dealer's qualification to do so. Requiring the filing of the Form ADV is necessary for that evaluation.

The final change to this rule is the elimination of proposed section (8). The exception of sellers of agricultural cooperatives from the definition of agent and the requirements for this exclusion are now found in rule 15 CSR 30-51.180.

15 CSR 30-51.020 Applications for Registration or Notice Filings

(1) Broker-Dealer Application. The application for registration as broker-dealer shall contain the information outlined in section 409.202(a) of the Act and in this rule. National Association of Securities Dealers (NASD) members must file applications in accordance with the guidelines of the Central Registration Depository (CRD) System.

(C) Broker-Dealers with Investment Adviser or Federal Covered Adviser Capacity. A broker-dealer, that intends to employ or supervise investment adviser representatives, but which is not also registered as an investment adviser or filed as a federal covered adviser, shall file a Form ADV with its initial or renewal application for registration as required above. Broker-dealers have a continuing duty to amend this information under 15 CSR 30-51.160.

Title 15—ELECTED OFFICIALS
Division 30—Secretary of State
Chapter 51—Broker-Dealers, Agents, Investment
Advisers and Representatives of Investment Advisers

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.204 and 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-51.030 Examination is rescinded.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002

(27 MoReg 138). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.202, 409.204(b)(6) and 409.413(a), RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-51.030 is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 138–139). Those sections with changes are reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received two (2) comments on the proposed rule.

COMMENT: Brian C. Underwood of A. G. Edwards & Sons, Inc., a registered broker-dealer, commented that the term "Investment Adviser Qualifying Officers" is used in subparagraphs (2)(D) and (3)(B), but that it is not defined and is not a term of common usage.

RESPONSE: No changes have been made to the rule as a result of this comment, but a definition has been provided in rule 15 CSR 30-50.010.

COMMENT: Michael Herndon of Certified Financial Planner Board of Standards commented that the proposed description of his professional organization in subparagraph (4)(A)1. was incorrect. He recommended that the language be changed to "Certified Financial Planner (CFP) awarded by Certified Financial Planner Board of Standards, Inc."

RESPONSE AND EXPLANATION OF CHANGE: Paragraph (4)(A)1. will be changed to correctly identify Certified Financial Planner Board of Standards, Inc.

15 CSR 30-51.030 Examination Requirement

- (4) Waiver of Examination Requirement for Investment Adviser Representatives. The examination requirement for applicants may be waived if the examination is not necessary for the protection of advisory clients. Persons with the following qualifications may qualify for a waiver of the examination requirement:
- (A) Investment Adviser Representatives. Applicants for investment adviser representative may qualify for a waiver of the examination requirement in 15 CSR 30-51.030(2)(C)2., if the applicant currently holds one (1) of the following designations:
- 1. Certified Financial Planner (CFP) awarded by Certified Financial Planner Board of Standards, Inc.;
- Chartered Financial Consultant (ChFC) awarded by the American College, Bryn Mawr, Pennsylvania;
- 3. Personal Financial Specialist (PFS) awarded by the American Institute of Certified Public Accountants;
- 4. Chartered Financial Analyst (CFA) awarded by the Institute of Chartered Financial Analysts;

- 5. Chartered Investment Counselor (CIC) awarded by the Investment Counsel Association of America, Inc;
- 6. Certified Investment Management Consultant (CIMC) awarded by the Institute for Certified Investment Management Consultants;
- 7. Certified Investment Management Analyst (CIMA) awarded by the Investment Management Consultants Association; or
- 8. Such other professional designation as the commissioner may by order recognize.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers and Representatives of Investment Advisers

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.201, 409.202, 409.204 and 409.413, RSMo 2000, the commissioner rescinds a rule as follows:

15 CSR 30-51.160 Effectiveness and Post-Effective Requirements **is rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on January 16, 2002 (27 MoReg 139). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under sections 409.201(b) and (d), 409.202, 409.204 and 409.413, RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-51.160 is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on January 16, 2002 (27 MoReg 139–141). Those sections with changes are reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The commissioner of securities received one (1) comment on the proposed rule.

COMMENT: Brian C. Underwood with A. G. Edwards & Sons, Inc., a registered broker-dealer, suggested that in paragraph (3)(B)3. any agent or investment adviser representative who is currently registered with the state, who is not subject to any restrictions on his or her registration with the state, who transfers from an entity currently registered with the state to another entity currently registered with the state, should be immediately granted an automatic temporary registration to conduct business with the new entity. The state should then have a 30-day period in which to postpone, suspend or revoke that registration based only upon information that has not been previously reported to the state. Mr. Underwood commented that if an agent has been permitted to do

business in the state, the mere fact that that agent transfers from one registered entity to another registered entity should not cause that agent to suffer any delay in continuing to earn a livelihood, unless there is some new set of facts not previously known to the state which would cause the state to act. Mr. Underwood also commented that subparagraph (4) should state that BDW or ADV-W filings may be made through the CRD or IARD system, as appropriate.

RESPONSE AND EXPLANATION OF CHANGE: Mr. Underwood's comments concerning this section have merit. However, most of the suggested changes need to be made through legislative change to section 409.204, RSMo 2000. The commissioner supports the change in H.B. 1957. If this bill or a substitute is passed by the legislature, this rule will be reviewed for amendment. This rule has been changed to reflect the current provisions of section 409.204 which recognized that the temporary permit is automatic. Mr. Underwood's concern that BDW and ADV-W filings may be made through the CRD or IARD system has been addressed in rule 15 CSR 30-50.020.

15 CSR 30-51.160 Effectiveness and Post-Effective Requirements

- (3) Continuing Duty of Applicants and Registrants to Disclose Material Information.
- (B) Termination of an Agent or Investment Adviser Representative.
- 1. Duty of broker-dealer, issuer or investment adviser. When an agent's or representative's association with the broker-dealer, issuer or investment adviser is discontinued or terminated by either party, the broker-dealer, issuer or investment adviser must file within thirty (30) days of the discontinuance or termination, a notice of that fact, stating the date of and reasons for the discontinuance or termination (Form U-5 or by letter).
- 2. Duty of agent or investment adviser representative. When an agent's or representative's association with a broker-dealer or investment adviser registered in Missouri is discontinued or terminated by either party, the agent or investment adviser representative must file, within thirty (30) days of the discontinuance or termination, amended documents reflecting association with another broker-dealer or investment adviser.
- 3. Temporary registration for transferring agents. An agent registered in Missouri transferring from one Missouri registered broker-dealer to another Missouri registered broker-dealer shall automatically have a temporary registration to transact securities business for thirty (30) days following the date the application becomes complete and nondeficient, unless the commissioner has withdrawn the temporary registration or issued an order of denial or summary postponement pursuant to section 409.204, RSMo. The temporary registration must be requested on the Form U-4 prior to any securities transactions by the agent through the new broker-dealer and within thirty (30) days following the termination from the previous firm. No such temporary registration will be granted upon termination from an issuer.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 51—Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-51.180 Exclusions from Definition of Broker-Dealer, Agents, Investment Advisers, and Investment Adviser Representatives is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on February 1, 2002 (27 MoReg 251). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The secretary of state received one (1) comment on the proposed rule.

COMMENT: C. L. Potuznik responded on behalf of the Investment Dealers Association of Canada (IDA). The IDA supports adoption of the proposed rule.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 54—Exemptions Under Securities Act

ORDER OF RULEMAKING

By the authority vested in the commissioner of securities under section 409.413, RSMo 2000, the commissioner adopts a rule as follows:

15 CSR 30-54.290 Canadian-United States Cross-Border Trading Exemption is adopted.

A notice of proposed rulemaking containing the text of the proposed rule was published in the *Missouri Register* on February 1, 2002 (27 MoReg 251–252). No changes have been made in the text of the proposed rule, so it is not reprinted here. This proposed rule becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: The secretary of state received one (1) comment on the proposed rule.

COMMENT: C. L. Potuznik responded on behalf of the Investment Dealers Association of Canada (IDA). The IDA supports adoption of the proposed rule.

Title 16—RETIREMENT SYSTEMS Division 10—The Public School Retirement System of Missouri

Chapter 4—Membership and Creditable Service

ORDER OF RULEMAKING

By the authority vested in the board of trustees under section 169.020, RSMo 2000, the board amends a rule as follows:

16 CSR 10-4.014 Reinstatement and Credit Purchases is amended

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on March 15, 2002 (27 MoReg 465). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

Title 16—RETIREMENT SYSTEMS
Division 10—The Public School Retirement System of
Missouri
Chapter 6—The Non-Teacher School Employee
Retirement System of Missouri

ORDER OF RULEMAKING

By the authority vested in the board of trustees under section 169.610, RSMo 2000, the board amends a rule as follows:

16 CSR 10-6.040 Membership Service Credit is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on March 15, 2002 (27 MoReg 465-466). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.

his section may contain notice of hearings, correction notices, public information notices, rule action notices, statements of actual costs and other items required to be published in the *Missouri Register* by law.

Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 9—Wildlife Code: Confined Wildlife: Privileges, Permits, Standards

IN ADDITION

3 CSR 10-9.565 Licensed Hunting Preserve: Privileges

The proposed rule which was published in the April 1, 2002 *Missouri Register* (27 MoReg 553–554) should have indicated that the form following the rule was being removed from the *Code of State Regulations*.

Title 15—ELECTED OFFICIALS Division 30—Secretary of State Chapter 45—Records Management

IN ADDITION

15 CSR 30-45.030 Local Records Grant Program Administration

The proposed rule which was published in the March 1, 2002 *Missouri Register* (27 MoReg 407–408) included (A) and (B) as the last two entries. These erroneously designated subsection entries have been changed to the corrected subparagraph format "A." and "B."

Title 19—DEPARTMENT OF HEALTH AND SENIOR SERVICES Division 60—Missouri Health Facilities Review Committee Chapter 50—Certificate of Need Program

APPLICATION REVIEW SCHEDULE

DATE FILED: APPLICATION PROJECT NO. & NAME/COST & DESCRIPTION/ CITY & COUNTY

The Missouri Health Facilities Review Committee has initiated review of the applications listed below. Decisions are tentatively scheduled for the June 24, 2002, Certificate of Need meeting. These applications are available for public inspection at the address shown below:

05/09/02

#3206 RS: Transitions I St. Joseph (Buchanan County) \$27,056, Replace 6 residential care facility (RCF) beds

#3249 NP: Lutheran Senior Services at Breeze Park Care Center St. Charles (St. Charles County)

\$6,345,000, Long term care bed expansion through the purchase of 45 skilled nursing facility (SNF) beds from Chesterfield Manor, Chesterfield (St. Louis County) and replace 20 SNF beds

05/10/02

#3252 HS: Southeast Missouri Hospital Cape Girardeau (Cape Girardeau County) \$2,676,127, Replace linear accelerator

#3251 NS: St. Joe Manor Bonne Terre (St. Francois County) \$2,698,000, Replace 40 SNF beds

Any person wishing to request a public hearing for the purpose of commenting on any of these applications must submit a written request to this effect, which must be received by June 10, 2002. All written requests and comments should be sent to:

Chairman

Missouri Health Facilities Review Committee c/o Certificate of Need Program 915 G Leslie Boulevard Jefferson City, MO 65101

For additional information contact Donna Schuessler, 573-751-6403.

Dissolutions

MISSOURI REGISTER

The Secretary of State is required by sections 347.141 and 359.481, RSMo 2000 to publish dissolutions of limited liability companies and limited partnerships. The content requirements for the one-time publishing of these notices are prescribed by statute. This listing is published pursuant to these statutes. We request that documents submitted for publication in this section be submitted in camera ready 8 1/2" x 11" manuscript.

NOTICE OF DISSOLUTION OF LIMITED LIABILITY COMPANY TO ALL CREDITORS OF AND CLAIMANTS AGAINST 2140 INDEPENDENCE, L.L.C.

On April 26, 2002, 2140 Independence, L.L.C., a Missouri limited liability company (hereinafter the "Company") filed its Notice of Winding Up for a Limited Liability Company with the Missouri Secretary of State, effective on April 29, 2002.

Any claims against the Company may be sent to: Limbaugh, Russell, Payne & Howard, Attn: R. Michael Howard, P.O. Box 1150, Cape Girardeau, MO 63702-1150. Each claim must include the following information: the name, address and phone number of the claimant; the amount claimed; the date on which the claim arose; the basis for the claim; and documentation for the claim.

All claims against the Company will be barred unless a proceeding to enforce the claim is commenced within three (3) years after the publication of this Notice.

Date of P	ublication:	
Мау	, 2002	

NOTICE OF DISSOLUTION OF CORPORATION

NOTICE OF DISSOLUTION TO ALL CREDITORS OF AND CLAIMANTS AGAINST Lenco Contracting, Inc., a Missouri corporation.

On May 6, 2002, Lenco Contracting, Inc., a Missouri corporation (the "Corporation"), filed its Articles of Dissolution with the Missouri Secretary of State. Dissolution was effective on May 6, 2002.

The Corporation requests that all persons and organizations who have claims against it present them by letter to the Corporation to the attention of Rodney V. Fahs at Greensfelder, Hemker & Gale, P.C., 10 S. Broadway, Suite 2000, St. Louis, Missouri 63l02.

All claims must include (i) the name and address of the claimant; (ii) the amount claimed; (iii) the basis for the claim; and (iv) the date(s) on which the event(s) on which the claim is based occurred.

NOTICE: Pursuant to Section 351.478 RSMo., any claims against the Corporation will be barred unless a proceeding to enforce the claim is commenced within two years after the publication date of the two notices authorized by 351.478 RSMo., whichever is published last.

Authorized Representative: Debra J. Spaethe

Thank you. Please contact me at (314) 345-4712 with any questions, etc.

Debbie Spaethe

OFFICE OF ADMINISTRATION Division of Purchasing

BID OPENINGS

Sealed Bids in one (1) copy will be received by the Division of Purchasing, Room 580, Truman Building, PO Box 809, Jefferson City, MO 65102, telephone (573) 751-2387 at 2:00 p.m. on dates specified below for various agencies throughout Missouri. Bids are available to download via our homepage: www.moolb.state.mo.us. Prospective bidders may receive specifications upon request.

B1E02323 Corrugated Sheets 6/17/02;

B1E02324 Dairy Products: Central MO 6/19/02;

B1E02326 Dairy Products: Various Locations 6/19/02;

B1E02325 Ice Cream-St. Louis Area 6/20/02;

B1Z02322 Meats-August 6/20/02;

B3Z02187 Art Services-Lewis & Clark Expedition 6/21/02;

B3Z02195 Hemoglobinopathy (Sickle Cell) Resource Center 6/24/02:

B1E02321 Framing Supplies 6/25/02;

B3Z02215 Printing: 2002 Pocket Part Cumulative Supplement 6/28/02;

B3E02216 Certification Services-Sheltered Workshop Employment 7/1/02;

B3Z02164 Pharmacy Services 7/15/02.

It is the intent of the State of Missouri, Division of Purchasing to purchase the following as a single feasible source without competitive bids. If suppliers exist other than the one identified, contact (573) 751-2387 immediately.

- 1.) Care Management Organization, supplied by the Missouri Alliance for Children and Families.
- 2.) Tobacco Use Prevention and Control Program: "Best Practices for a Comprehensive Tobacco Control Program", supplied by St. Louis University, School of Public Health.

James Miluski, CPPO, Director of Purchasing June 17, 2002 Vol. 27, No. 12

Rule Changes Since Update to Code of State Regulations

MISSOURI REGISTER

This cumulative table gives you the latest status of rules. It contains citations of rulemakings adopted or proposed after deadline for the monthly Update Service to the *Code of State Regulations*, citations are to volume and page number in the *Missouri Register*, except for material in this issue. The first number in the table cite refers to the volume number or the publication year—25 (2000), 26 (2001) and 27 (2002). MoReg refers to *Missouri Register* and the numbers refer to a specific *Register* page, R indicates a rescission, W indicates a withdrawal, S indicates a statement of actual cost, T indicates an order terminating a rule, N.A. indicates not applicable and RUC indicates a rule under consideration.

Rule Number	Agency	Emergency	Proposed	Order	In Addition
1 CSR 10	OFFICE OF ADMINISTRATION State Officials' Salary Compensation Schedu	ule			25 MoReg 2478
1 CSR 20-5.020	Personnel Advisory Board and Division of Personnel	27 MoReg 847			
	DEPARTMENT OF AGRICULTURE				
2 CSR 10-5.010	Market Development				
		26 MoReg 1305			
2 CSR 10-5.015	Market Development	26 MoReg 2217	27 MoReg 451	This Issue	
2 CSR 30-2.010	Animal Health	26 Mokeg 2257	20 MoReg 2203.	27 Mokeg /16W	
2 CSR 30-2.011	Animal Health				
2 CSR 30-2.020	Animal Health				
2 CSR 30-2.040	Animal Health			27 MoReg 716W	
2 CSR 30-6.020	Animal Health			27 MoReg 716W	
2 0511 00 01020			27 MoReg 688	27 1/101408 710 11	
			This Issue		
2 CSR 70-13.045	Plant Industries				
2 CSR 70-13.050 2 CSR 80-5.010	Plant Industries			This Issue	
2 CSR 80-3.010 2 CSR 90-10.012	State Milk Board		27 MoReg 7	11118 1880E 27 MoReg 807	
2 CSR 90-10.013	Weights and Measures		27 MoReg 9	27 MoReg 807	
2 CSR 90-10.020	Weights and Measures		27 MoReg 9	27 MoReg 808	
2 CSR 90-10.040	Weights and Measures		27 MoReg 11	27 MoReg 808	
2 CSR 90-20.040	Weights and Measures				
2 CSR 90-22.140 2 CSR 90-23.010	Weights and Measures	• • • • • • • • • • • • • • • • • • • •	27 MoReg 454		
2 CSR 90-25.010 2 CSR 90-25.010	Weights and Measures				
2 CSR 90 23.010	Weights that Measures		27 Mortog 133		
2 665 40 4 420	DEPARTMENT OF CONSERVATION				
3 CSR 10-4.130	Conservation Commission				
3 CSR 10-4.141 3 CSR 10-5.205	Conservation Commission				
3 CSR 10-5.215	Conservation Commission				
3 CSR 10-5.225	Conservation Commission				
3 CSR 10-5.350	Conservation Commission				
3 CSR 10-5.352	Conservation Commission				
3 CSR 10-5.353 3 CSR 10-5.425	Conservation Commission				
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3 CSR 10-5.550	Conservation Commission		27 MoReg 455	27 MoReg 921	
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3 CSR 10-5.552	Conservation Commission		This Issue		
3 CSR 10-5.553	Conservation Commission				
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3 CSR 10-5.575	Conservation Commission				
3 CSR 10-5.576 3 CSR 10-5.577	Conservation Commission				
3 CSR 10-5.578	Conservation Commission				
3 CSR 10-6.405	Conservation Commission				
3 CSR 10-6.410	Conservation Commission				
3 CSR 10-6.415	Conservation Commission				
3 CSR 10-6.540 3 CSR 10-6.550	Conservation Commission				
3 CSR 10-6.505	Conservation Commission				
3 CSR 10-7.410	Conservation Commission				
3 CSR 10-7.435	Conservation Commission		N.A		
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3 CSR 10-7.455 3 CSR 10-8.510	Conservation Commission				
3 CSR 10-8.510 3 CSR 10-8.515	Conservation Commission				
3 CSR 10-9.106	Conservation Commission				
3 CSR 10-9.110	Conservation Commission		This Issue		
3 CSR 10-9.220	Conservation Commission				
3 CSR 10-9.351	Conservation Commission		This Issue		

Rule Changes Since Update

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3 CSR 10-9.359	Conservation Commission				
3 CSR 10-9.425 3 CSR 10-9.560	Conservation Commission				
3 CSR 10-9.565	Conservation Commission				This Issue
3 CSR 10-9.566	Conservation Commission	27 MoReg 549	27 MoReg 554	This Issue	
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3 CSR 10-9.575	Conservation Commission	This Issue			
3 CSR 10-9.625	Conservation Commission				
3 CSR 10-9.630	Conservation Commission				
3 CSR 10-9.645 3 CSR 10-10.725	Conservation Commission		NT A	This Issue	
3 CSR 10-10.723 3 CSR 10-10.727	Conservation Commission				
3 CSR 10-10.743	Conservation Commission			11115 15540	
3 CSR 10-11.110	Conservation Commission		This Issue		
3 CSR 10-11.115	Conservation Commission				
3 CSR 10-11.125	Conservation Commission				
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3 CSR 10-11.153	Conservation Commission				
3 CSR 10-11.165	Conservation Commission				
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3 CSR 10-11.183	Conservation Commission				
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4 CSR 110-2.131	Missouri Dental Board	27 MoReg 549	27 MoReg 554		21 Mokeg 923
4 CSR 110-2.132	Missouri Dental Board		27 MoReg 555		
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4 CSR 140-1.010 4 CSR 140-2.067	Division of Finance				
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4 CSR 150-2.030 4 CSR 150-2.040	State Board of Registration for the Healing State Board of Registration for the Healing	Arts	27 MoReg 860		
1 0010 130 2.040	Same Bourd of Regionation for the fredling.	. 22 60	2, MOING 000		

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4 CSR 150-2.080	State Board of Registration for the Healing	g Arts	27 MoReg 776		
4 CSR 150-2.155	State Board of Registration for the Healing	g Arts	27 MoReg 861		
4 CSR 150-4.010	State Board of Registration for the Healing	g Arts	27 MoReg 861		
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4 CSR 150-6.050 4 CSR 150-7.200	State Board of Registration for the Healing State Board of Registration for the Healing	Arts	27 MoReg 802		
4 CSR 150-7.200 4 CSR 150-8.060	State Board of Registration for the Healing	Arts	27 MoReg 862		
4 CSR 205-1.030	Missouri Board of Occupational Therapy	, AII.	27 MoReg 18R	27 MoReg 720R	
4 CSR 205-3.010	Missouri Board of Occupational Therapy		27 MoReg 18	27 MoReg 721	
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4 CSR 210-2.030	State Board of Optometry		27 MoReg 105	27 MoReg 721	
4 CSR 210-2.070	State Board of Optometry		27 MoReg 105	27 MoReg 721	
4 CSR 220-2.020	State Board of Pharmacy		27 MoReg 18	27 MoReg 721	26360 2422
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4 CSR 240-2.075	Public Service Commission		27 MoReg 691		
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4 CSR 255-2.010	Missouri Board for Respiratory Care		26 MoReg 2404.	27 MoReg 722	
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9 CSR 30-3.192	Certification Standards				
9 CSR 30-3.206	Certification Standards	Am 3.5 %	27 MoReg 621	0.00	
9 CSR 30-4.030	Certification Standards				
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9 CSR 30-4.034 9 CSR 30-4.035	Certification Standards				
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9 CSR 30-4.039	Certification Standards	27 MoReg 222	27 MoReg 229	27 MoReg 814	
9 CSR 30-4.042	Certification Standards	27 MoReg 223	27 MoReg 229	27 MoReg 815	
9 CSR 30-4.043	Certification Standards	27 MoReg 223	27 MoReg 230	27 MoReg 815	
9 CSR 30-4.045	Certification Standards	27 MoReg 224	27 MoReg 231	27 MoReg 815	
9 CSR 45-3.050	Division of Mental Retardation and Development Disabilities		27 MoReg 622R		
9 CSR 45-5.060	Division of Mental Retardation and				
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10 CSR 20-4.023	Clean Water Commission		26 MoReg 860		
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10 CSR 25-3.260 10 CSR 25-6.263	Hazardous Waste Management Commission		2/ MoReg II0		
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10 CSR 40-10.020	Land Reclamation Commission		26 MoReg 1798		
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10 CSR 60-4.050 10 CSR 60-4.060	Public Drinking Water Program Public Drinking Water Program		27 MoReg 323		
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10 CSR 70-1.010	Soil and Water Districts Commission		27 MoReg 247		
11 CSR 10-11.210	DEPARTMENT OF PUBLIC SAFETY Adjutant General		27 MoReg 247	27 MoReg 815	
11 CSR 10-11.220	(Changed from 11 CSR 40-4.010) Adjutant General		27 MoReg 248	27 MoReg 816	
11 CSR 10-11.230	(Changed from 11 CSR 40-4.020) Adjutant General		27 MoReg 248	27 MoReg 816	
11 CSR 10-11.240	(Changed from 11 CSR 40-4.030) Adjutant General		27 MoReg 249	27 MoReg 816	
11 CSR 10-11.250	(Changed from 11 CSR 40-4.040) Adjutant General(Changed from 11 CSR 40-4.050)		=	27 MoReg 816	
11 CSR 30-7.010	Office of the Director	27 MoReg 550	27 MoReg 565		
11 CSR 40-4.010	Division of Fire Safety		27 MoReg 247	27 MoReg 815	
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11 CSR 40-4.020	Division of Fire Safety		27 MoReg 248	27 MoReg 816	
11 CSR 40-4.030	(Changed to 11 CSR 10-11.220) Division of Fire Safety		27 MoReg 248	27 MoReg 816	
11 CSR 40-4.040	(Changed to 11 CSR 10-11.230) Division of Fire Safety		27 MoReg 249	27 MoReg 816	
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11 CSR 40-4.050	Division of Fire Safety		27 MoReg 249	27 MoReg 816	
11 CSR 40-6.060	(Changed to 11 CSR 10-11.250) Division of Fire Safety	26 MoReg 857			
11 CSR 45-1.090	Missouri Gaming Commission	20 Working 657	27 MoReg 121	27 MoReg 725	
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11 CSR 75-1.010	Division of Highway Safety Peace Officer Standards and Training		27 MoReg 865R	27 Working 617	
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11 CSR 75-3.010 11 CSR 75-3.020	Peace Officer Standards and Training		27 MoReg 867R		
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